

FORM PTO-1390 (REV 3/2001)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		DATE: November 6, 2003	
		EXPRESS MAIL LABEL NO. EV 326708877 US	
		ATTORNEY DOCKET NO. 45923/DBP/A400	
		U.S. APPLICATION NO. 09/980,606	
INTERNATIONAL APPLICATION NO. PCT/JP01/02073		INTERNATIONAL FILING DATE 15 March 2001 (15-03-2001)	
		PRIORITY DATE CLAIMED 15 March 2000 (15-03-2000)	
TITLE OF INVENTION OPTICAL WAVEGUIDE MODULATOR EQUIPPED WITH AN OUTPUT LIGHT MONITOR			
APPLICANT(S) FOR DO/EO/US YAMADA, Manabu; MIYAZAKI, Norikazu; and HARA, Tokutaka			
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:			
<ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1). 4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/LUS). 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210). 8. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)). <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 9. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 10. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409). 12. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). 			
Items 13 to 20 below concern document(s) or other information included:			
<ol style="list-style-type: none"> 13. <input checked="" type="checkbox"/> A Supplemental Information Disclosure Statement under 37 CFR 1.97 and 1.98. 14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 15. <input type="checkbox"/> A FIRST preliminary amendment. 16. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 17. <input type="checkbox"/> A substitute specification. 18. <input type="checkbox"/> A change of power of attorney and/or address letter. 19. <input type="checkbox"/> SMALL ENTITY Assertion: Applicant(s) and any other associated with it/them under 37 CFR § 1.27(a) are a small entity. 20. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail. 21. <input checked="" type="checkbox"/> Other items or information: PTO/SB/08A/B with references and European Search Report dated September 15, 2003 			

U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/980,606		INTERNATIONAL APPLICATION NO. PCT/JP01/02073		ATTORNEY DOCKET NO. 45923/DBP/A400	
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22. The following fees are submitted: <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO: \$1,080.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 0</div>				CALCULATIONS		PTO USE ONLY	

Surcharge of \$130 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
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Claims	Number Filed	Number Extra	Rate		
Total Claims	-20=		X \$18	\$	
Independent Claims	-3=		X \$86	\$	
Multiple dependent claim(s) (if applicable)			+ \$290	\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 0	

Reduction by 1/2 for filing by small entity, if applicable. Verified Small entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$ 0	

Processing fee of \$130 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$ 0	

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$ 0	

Note (1): The basic national fee must be paid when filing this application. The 20-month time limit (37 CFR § 1.494) and 30-month time limit (37 CFR § 1.495) are not extendable.				Amount to be:		\$
				Refunded		
				charged		\$

☐ A check in the amount of \$ __ to cover the above fees is enclosed.
☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1728. A duplicate copy of this sheet is enclosed.

NOTE (2): Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

 SEND ALL CORRESPONDENCE TO:

D. Bruce Prout
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CUSTOMER NUMBER: 23363

By *D. Bruce Prout*
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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EV 326708877 US

Applicant : Manabu Yamada, et al.
Application No. : 09/980,606
Filed : November 15, 2001
Title : OPTICAL WAVEGUIDE MODULATOR EQUIPPED WITH AN
OUTPUT LIGHT MONITOR

Grp./Div. : To be determined
Examiner : To be determined

Docket No. : 45923/DBP/A400

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
37 CFR § 1.97(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Post Office Box 7068
Pasadena, CA 91109-7068
November 6, 2003

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B listing the references that are known to applicant. Copies of each of the listed references are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application.

Application No. 09/980,606

Applicant also requests that an initialed copy of FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,

CHRISTIE, PARKER & HALE, LLP

By 

D. Bruce Prout

Reg. No. 20,958

626/795-9900

DBP/dg

Enclosures: PTO/SB/08A/B, w/references
DLG PAS534336.1-* - 10/31/03 2:45 PM

FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Attorney Docket Number	45923/DBP/A400
	Application Number	09/980,606
	Filing Date	November 15, 2001
	Applicant(s)	Manabu Yamada, et al.
	Group Art Unit	To be determined
	Examiner Name	To be determined

U.S. PATENT DOCUMENTS				
EXAMINER INITIALS	Cite No. ¹	DOCUMENT NUMBER Number - Kind Code ² (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		4,340,272	07-20-1982	Papuchon et al.
		5,042,895	08-27-1991	Chouinard et al
		5,259,044	11-02-1993	Isono et al
		5,764,400	06-09-1998	Itou et al

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIALS	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶ (✓)
		JP 3-145623	06-20-1991	Minoru	Patent Abstract of Japan
		JP 4-24610	01-28-1992	Takashi	Patent Abstract of Japan
		JP 60-63822	05-04-1985	Yokogawa Hokushin Denki K.K	Partial English translation

OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		Patent Abstract of Japan Publication Number. 03145623, Published June 20, 1991 in the name of Kiyono Minoru
		Patent Abstract of Japan Publication Number. 04024610, Published January 28, 21992 in the name of Yamane Takashi
		Mekada, N., et al., <i>Practical method of waveguide-to-fiber connection: direct preparation of waveguide endface by cutting machining and reinforcement using ruby beads</i> , Applied Optics, Vol. 29, No. 34, December 1, 1990, XP 000165712, pp 5096-5192
		European Search Report dated September 15, 2003 for corresponding European Patent Application EP 01 91 2411

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EXAMINER SIGNATURE	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. ³ Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English Language Translation is attached.	

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE